



Goddard Procedural Requirements (GPR)

DIRECTIVE NO. GPR 1440.8A

APPROVED BY Signature: Original signed by
Arthur F. Obenshain for

EFFECTIVE DATE: December 1, 2010

NAME: Robert Strain

EXPIRATION DATE: December 1, 2015

TITLE: Director

COMPLIANCE IS MANDATORY

Responsible Office: 270/Information and Logistics Management Division

Title: Records Management

PREFACE

P.1 PURPOSE

This directive describes the requirements and procedures for the creation, use, preservation, maintenance, storage, and disposal of Goddard Space Flight Center (GSFC) records.

P.2 APPLICABILITY

This directive applies to all GSFC organizational elements and personnel and to contractors who create and/or maintain records for GSFC including documents and records related to the Center's Management System. Records produced by a contractor and later supplied to GSFC as records will be governed by contract requirements.

P.3 AUTHORITIES

44 U.S. Code, Chapter 33, Section 3301

36 CFR Part 1236, Management of Vital Records

[NPD 1440.6](#), NASA Records Management

[NPR 1040.1](#), NASA Continuity of Operations (COOP) Planning Procedural Requirements

[NPR 1441.1](#), NASA Records Retention Schedules

P.4 APPLICABLE DOCUMENTS

GSFC 22-41, Records Transfer Request

GSFC 22-66, GSFC Organization File Plan

GSFC 22-67, Directorate Records Liaison Officer Designation

SF-135, Records Transmittal and Receipt

SF-258, Request to Transfer, Approval, and Receipt of Records to NARA

P.5 CANCELLATION

GPR 1440.8, Records Management

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.

P.6 SAFETY

None

P.7 TRAINING

The Center Records Manager shall develop a training program covering general records practices to provide training and periodic briefings to Directorate Records Liaison Officers, Records Custodians, and Greenbelt/WFF personnel.

P.8 RECORDS

Record Title	Record Custodian	Retention
GSFC 22-66, Organization File Plan	Center Records Manager, Records Liaison Officers, Offices of Record	NRRS 1/75E Destroy file plans when superseded.
Records Case Files; Transfers, Retrievals, Disposals, and related documentation (SF-135, SF-258 and GSFC 22-41)	Center Records Manager	NRRS 1/75A1(b) Retain on site and destroy when no longer needed for reference or when 75 years old, whichever is longer.
Records Case Files; Transfers, Retrievals, Disposals, and related documentation (SF-135 and GSFC 22-41)	All Other Offices	NRRS 1/75A1(c) Destroy 6 years after the related records are destroyed or transferred to NARA, whichever is applicable.
Agency Record Reviews and Center Records Self-Assessment Files	Center Records Manager, Organization Under Review/Assessment	NRRS 9/24.5 Close file after closure of all recommendations. Destroy 3 years after close of file.

*NRRS – NASA Records Retention Schedules ([NPR 1441.1](#))

P.9 MEASUREMENT/VERIFICATION

The Center Records Manager shall initiate an annual call for Directorates to review, revalidate, and submit file plans to the Records Management Program office and track completion to ensure each office of record maintains an up-to-date file plan.

The Center Records Manager shall conduct annual self-assessments in accordance with Agency requirements and report results to the Agency Records Officer to ensure records management program objectives and requirements are met.

PROCEDURES

In this document, a requirement is identified by “shall,” a good practice by “should,” permission by “may” or “can,” expectation by “will,” and descriptive material by “is.”

1. RESPONSIBILITIES

1.1 The Center Director will ensure that policies and practices are established to facilitate the preservation of records documenting Center business, as performed by both civil service employees and support contractors.

1.2 The GSFC Chief Information Officer (CIO) shall, in coordination with the Center Records Manager, ensure proper management of electronic records and ensure information system design, development, and implementation includes record keeping functionalities.

1.3 The Information and Logistics Management Division shall institute an efficient and effective record management program at GSFC that ensures compliance with statutory, regulatory, and Agency requirements and procedures.

1.4. The GSFC Records Manager shall:

- a. Oversee the Center records management program, providing technical assistance and procedural advice to GSFC organizations and employees responsible for records management functions.
- b. Serve as the Agency Records Officer’s primary point of contact, providing advice on Center specific issues, responding to actions, preparing reports, and forwarding recommendations for records retention schedule changes.
- c. Authorize routine record transfers to the Washington National Records Center (WNRC) on a SF-135, Records Transmittal and Receipt and GSFC 22-41, Records Transfer Request; transfers to the National Archives and Records Administration (NARA) on a SF-258, Request to Transfer, Approval, and Receipt of Records to NARA; and the retrieval, return and disposal of records held at the Federal Records Center.
- d. Interface with Directorate Records Liaison Officers at various organization levels to ensure they are aware of their records management responsibilities.
- e. Develop and coordinate a training program to familiarize Center personnel with their records management responsibilities and requirements for the creation, maintenance, and disposition of GSFC records. Provide records management briefings to organizations upon request.

- f. Conduct an annual self-assessment of the records management program throughout the Center to ensure records are identified and protected; document discrepancies; communicate instruction for correction actions; track completion and report results to the Agency Records Officer.
- g. Implement and manage the GSFC Vital Records Program, in cooperation with the GSFC Emergency Preparedness Coordinator (EPC) and the Emergency Management Task Group (EMTG), to ensure the ready availability of vital records needed for the continued operation of essential functions during a national or regional emergency. Update vital records in accordance with the established cycle and conduct an annual review of the vital records inventory.
- h. Develop communication networks with other federal agencies as necessary.

1.5 Heads of Primary Organizations shall:

- a. Designate an individual to serve as the Directorate Records Liaison Officer for their respective organization on a GSFC 22-67, Directorate Records Liaison Officer Designation.
- b. Institute effective records management practices to carry out the provisions of NASA records management rules.
- c. Include records management requirements when planning all technology applications, to determine what impact, if any, the application will have on the Center's ability to document its activities.

1.6 Directorate Records Liaison Officers shall:

- a. Work with the Center Records Manager to ensure the proper creation, maintenance, and disposition of all records generated within their respective Directorate.
- b. Coordinate with the GSFC Records Manager to identify and store copies of their organization's vital records, including those in the possession of contractors, that would enable the Center to operate during an emergency/disaster or immediately following one.
- c. Conduct annual reviews of their organization's records to ensure material is current, complete, and documented on a GSFC 22-66, GSFC Organization File Plan.
- d. Work with the Protective Services Division to ensure only those individuals with the proper security clearance handle classified records.
- e. Interface with records custodians within their primary organization.
- f. Assist civil servants and contractors to ensure records remain legible, readily available, identifiable, retrievable and stored in a secure cabinet when necessary.

- g. Review and authorize GSFC 22-41, Records Transfer Request for routine record transfers to the WNRC.

1.7. Employees who create, maintain, and use NASA records shall:

- a. Understand the difference between a record and a non-record.
- b. Preserve and dispose of records, regardless of the medium on which they reside, in accordance with Agency policy.
- c. File personal papers and non-record material separately from Center records.
- d. Attend training programs sponsored by the Information and Logistics Management Division to promote records management practices at Goddard.
- e. Ensure records are legible, readily available, identifiable, retrievable and stored in a secure cabinet when necessary

1.8. Contractors shall:

- a. Be familiar with Goddard policy regarding records management.
- b. Return all applicable records at the conclusion of the contract.
- c. Ensure records are legible, readily available, identifiable, retrievable and stored in a secure cabinet when necessary

2. Filing

Records shall be physically or electronically filed by a method that ensures records are accessible and retrievable by a user. The Agency Filing Scheme (see NPR 1441.1) is the preferred method for filing records.

Records created by GSFC shall be safeguarded:

- a. Records shall be stored in a manner that minimizes deterioration, damage, loss, and unauthorized access.
- b. If records have a security classification, they shall be secured in a General Services Administration approved security container (safe) or approved facility sufficient to preclude unauthorized access.

- c. Records that are no longer needed locally to conduct business may be stored at the local Federal Records Center, provided a records retention schedule applies, by completing a GSFC 22-41, Records Transfer Request.
- d. File and maintain records separately from reference/non-record material.

3. Disposition

Records shall be disposed of in accordance with NPR 1441.1. There are two general disposition categories:

- a. Temporary Records approved by the National Archives and Records Administration (NARA) for disposal, either immediately or after a specified retention period; and
- b. Permanent Records that are appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal government beyond the time they are needed by GSFC for administrative, legal, or fiscal purposes.

In situations where a disposition schedule is not clearly identifiable, GSFC organizations shall contact the Goddard Records Manager for guidance.

4. Destruction

No records shall be destroyed without an approved disposition schedule.

Appendix A – Definitions

A.1 Agency Filing Scheme (AFS) – A list of subject identification codes contained in NPR 1441.1 intended for use in filing NASA-owned records.

A.2 Cycle – The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually or at other designated intervals.

A.3 Classified Records – A record containing classified information that must be protected against unauthorized disclosure and is marked to indicate its classified status when in documentary form.

A.4 Directorate Records Liaison Officer – An individual designated by a primary organization to assist the organization in identifying, maintaining, and dispositioning records, and interfaces with records custodians. The Records Liaison Officer also serves as the point-of-contact (POC) with the Goddard Records Manager for all records management actions.

A.5 Disaster – An unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on Center operations.

A.6 Disposition – The action taken regarding records no longer needed in current office space. This action includes transfer to Federal Records Centers, transfer of permanent records to the National Archives, and disposal of temporary records.

A.7 Electronic Record – Any information that is recorded by or in a format that only a computer can process and that satisfies the definition of a Federal record in 36 CFR.

A.8 Emergency – A situation or occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. The scale of an emergency can be local, regional, or national.

National Emergencies – Any occurrence, including natural disaster, technological emergency, military attack, or other emergency, that seriously degrades or threatens the national security of the United States. Response to nationally declared emergencies (including NASA responsibilities) is specified by the Federal Emergency Management Agency (FEMA) Federal Response Plan. Only the President of the United States can declare a National Emergency.

A.9 Emergency Management Task Group (EMTG) – A Committee responsible for planning and evaluating resources and preparing for emergency management at GSFC.

A.10 Emergency Operations Center (EOC) – A specially equipped area that serves as the communications hub and control center from which coordination and control is exercised and maintained during an emergency.

A.11 Emergency Preparedness Coordinator (EPC) – The individual responsible for managing the overall Emergency Preparedness Program (EPP). Responsibilities include developing an effective organizational structure, allocating resources, making appropriate assignments, managing information, and continually striving to improve the effectiveness of the program.

A.12 Federal Records Center (FRC) – A storage and servicing facility operated by the National Archives and Records Administration (NARA) for Federal records pending disposal or transfer to the National Archives.

A.13 File Plan – a list of all record series maintained by an office that distinguishes between hard copy and electronic records and includes the AFS, record series/description, records custodian, file location, and a reference to the approved retention/disposition instructions for each record series identified.

A.14 Goddard Records Manager – Individual appointed by the Center Director designated to oversee the records management program.

A.15 NASA Records Retention Schedule (NRRS) – A document providing mandatory instruction pertaining to the retention periods of records of the National Aeronautics and Space Administration (NASA).

A.16 National Archives – The repository for records that the Archivist of the United States has determined to have sufficient historical or other value to warrant their continued preservation by the Federal Government.

A.17 Non-record – In the same form as records, but having at least one of the following characteristics:

- (1) made or received solely for reference or supply;
- (2) containing no significant evidence of activities;
- (3) extra copies of records;
- (4) work papers, including drafts used to prepare a letter, report, or other finished document; and/or
- (5) publications, including library materials.

DIRECTIVE NO.	<u>GPR 1440.8A</u>
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A.18 Office of Record – An office designated to maintain the record or official copy of a particular record in an organization.

A.19 Personal Papers – Documentary materials belonging to an individual that are not used to conduct Agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. Must be clearly designated as such and kept separate from the Center's records.

A.20 Primary Organization – An organization reporting directly to the Center Director.

A.21 Record – All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government and needed to document Agency activities or actions. Records include, but are not limited to:

- (1) Letters
- (2) Completed forms
- (3) Memoranda
- (4) Directives
- (5) Reports

A.22 Records Custodian – An individual who is responsible for collecting, indexing, accessing, filing, storing, maintaining, and dispositioning a record or collection of records.

A.23 Records Retention – Mandatory instructions for handling records no longer needed for immediate government business, with provision of authority for final disposition.

A.24 Record Series – A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g. a personnel file consisting of an application, reference letters, benefit forms, etc.

A.25 Vital Records – Copies of essential Agency documents needed to meet operational responsibilities under national security emergencies or other emergency conditions and also those records essential to protecting the legal and financial rights of the Agency and those affected by its activities. Vital records may be categorized as:

- (1) Emergency Operating Records – Those records essential to the continued functioning or reconstruction of an organization during and after an emergency. Some examples include the emergency plan itself, directive(s), orders of succession and delegations of authority, staffing

assignments, equipment inventories, vital records inventories, facility engineering design plans and drawings, Emergency Operations Center access credentials, and classified or restricted access documentation.

- (2) Legal and Financial Rights Records – Those records essential to protect the legal and financial rights of individuals in cases where GSFC is the office of record, or where NASA records are the indispensable and exclusive source from which individuals may secure or preserve their rights and interests. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records.

Appendix B – Acronyms

AFS	Agency Filing Scheme
CFR	Code of Federal Regulations
CIO	Chief Information Office
COOP	Continuity of Operations
EMTG	Emergency Management Task Group
EOC	Emergency Operations Center
EPC	Emergency Preparedness Coordinator
EPP	Emergency Preparedness Program
FEMA	Federal Emergency Management Agency
FMD	Facilities Management Division
FRC	Federal Records Center
GDMS	Goddard Directives Management System
GSFC	Goddard Space Flight Center
ILMD	Information and Logistics Management Division
ISO	International Organization for Standardization
NARA	National Archives and Records Administration
NASA	National Aeronautics and Space Administration
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
NRRS	NASA Records Retention Schedules
POC	Point of Contact
WFF	Wallops Flight Facility

DIRECTIVE NO. GPR 1440.8A
EFFECTIVE DATE: December 1, 2010
EXPIRATION DATE: December 1, 2015

Page 12 of 12

CHANGE HISTORY LOG

Revision	Effective Date	Description of Changes
Baseline	04/11/05	Initial Release
	08/08/06	Administratively updated to reflect a change in the owning organization code from 230 to 270.
	01/19/10	Administratively extended for 1 year from original expiration date.
A	12/01/10	Revised to ensure compliance with ISO requirements and make administrative adjustments.

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<http://gdms.gsfc.nasa.gov> TO VERIFY THAT THIS IS THE CORRECT VERSION PRIOR TO USE.